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AFRICAN AND LATIN AMERICAN RESILIENCE TO CLIMATE CHANGE (ARCC)

4th QUARTERLY REPORT (July - September 2012)

15 October 2012

This publication was produced for review by the United States Agency for International Development.
It was prepared by Tetra Tech ARD.

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This report was prepared by:

Tetra Tech ARD
159 Bank Street, Suite 300
Burlington, Vermont 05401 USA

Tetra Tech ARD Contacts:

Scott McCormick, Ph.D.
Senior Technical Advisor/Manager
Tetra Tech ARD
Burlington, VT
Tel.: 802-658-3890
Scott.McCormick@tetrattech.com

Anna Farmer
Project Manager
Tetra Tech ARD
Burlington, Vermont
Tel.: 802-658-3890
Anna.Farmer@tetrattech.com

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The views expressed in this publication do not necessarily reflect the views of the United States Agency for International Development or the United States Government

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ACRONYMS AND ABBREVIATIONS

AFR	Africa Region
AM	Activity Manager
APS	Annual Program Statements
ARCC	African and Latin American Resilience to Climate Change
CCA	Climate Change Adaptation
CCAFS	Climate Change Agriculture and Food Security Program (CGIAR)
CDCS	Country Development and Cooperation Strategy
CGIAR	Consultative Group on International Agricultural Research
CIESIN	Center for International Earth Science Information Network
CO	Contracting Officer
COP	Chief of Party
COP 17	Seventeenth Conference of the Parties to the United Nations Framework Convention on Climate Change (UNFCCC)
COR	Contracting Officer's Representative
ETOA	Environmental Threats and Opportunities Assessment
FAO	United Nations Food and Agriculture Organization
FEWS NET	Famine Early Warning Systems Network
FGD	Focus Group Discussion
FTF	Feed the Future
GCAP	Global Climate Adaptation Partnership
GCC	Global Climate Change
GMP	Grants Management Plan
GoU	Government of Uganda
GoM	Government of Malawi
GoDR	Government of the Dominican Republic
GoS	Government of Senegal
GUC	Grants Under Contract

IQC	Indefinite Quantity Contract
KII	Key Informant Interview
LAC	Latin America and the Caribbean Region
LDPG	Local Development Partner Group
M&E	Monitoring and Evaluation
NAPA	National Adaptation Program of Action
NGO	Nongovernmental Organization
PM	Project Manager
PMP	Performance Monitoring Plan
PRRGP	Property Rights and Resource Governance Program
SMTS	Subject Matter Technical Specialists
SOW	Scope of Work
STA/M	Senior Technical Advisor/Manager
UCT	University of Cape Town
USG	United States Government
UNDP	United Nations Development Programme
UNFCCC	United Nations Framework Convention on Climate Change
VA	Vulnerability Assessment
WRI	World Resources Institute

I.0 PROJECT SUMMARY

The African and Latin American Resilience to Climate Change (ARCC) project is a three-year program funded by the United States Agency for International Development (USAID) to provide technical, analytical, and project assistance, as well as capacity building to promote adaptation to climate change, in order to improve the ability of vulnerable populations to respond to climate challenges and safeguard economic growth. The Task Order for ARCC will focus on advancing the Economic Growth Objective within the USAID Foreign Assistance Framework by promoting adaptation to climate change and integration of adaptation into other economic investments, in order to safeguard and promote sustainable, climate-resilient growth. ARCC has the following goals/objectives:

- Promote sustainable economic growth through the development of vulnerability assessment methodologies and other analyses that provide information about the greatest climate change risks to sustainable growth and adaptation options;
- Promote improved governance through the development of analysis and methodologies that increase public understanding of potential climate change impacts and broaden civil society participation in decision-making;
- Address the needs of vulnerable populations, and include gender considerations, by developing best practices in analysis of risk and mitigation of climate change impacts on these populations; and
- Provide technical support to USAID missions and operating units by providing analysis, design, and evaluation support for activities related to adaptation.

To follow, the Task Order for ARCC consists of four activity areas with predefined tasks and deliverables:

- Task Area 1: Development of Vulnerability Assessments Methodologies;
- Task Area 2: Outreach, Training and Support;
- Task Area 3: Knowledge Development and Management; and
- Task Area 4: Technical Support to USAID Missions and Operating Units.

Under these Task Areas, key activities will include the provision of assessment methodologies to guide USAID programming of adaptation-related objectives; a vulnerability assessment tool to provide specific guidance into 'Feed The Future' planning for USAID programs; knowledge management support on topics that may range from evaluation of publicly available indicators of vulnerability to research to improve downscaled modeling outputs that are important for decision-making around adaptation; and technical assistance for field missions in Africa and to a lesser extent, the Latin America and Caribbean region. This Task Order is also expected to have the flexibility to address unforeseen support needs for the Africa Bureau and the Latin America and Caribbean Bureau (LAC).

ARCC will likely be asked to focus on the following geographic areas: *Africa*: Angola, Ethiopia, Kenya, Malawi, Mali, Mozambique, Rwanda, Senegal, Tanzania, and Uganda. *Africa Regional Missions*: East Africa, Southern Africa, and West Africa. *Latin America and Caribbean*: Colombia, Ecuador, Peru, Guatemala, Haiti, and Jamaica. *Latin America Regional Missions*: Central American, Andean and the Caribbean.

2.0 SUMMARY RESULTS FOR THE PERIOD

During the 4th Quarter, ARCC carried out activities in all task areas of the Year One Work Plan. These included launching the Scoping Mission for the ARCC vulnerability assessment in Senegal, completion of the field work phase of the ARCC vulnerability assessment in Malawi, holding a series of working group meetings to review results from the vulnerability assessment in Uganda, participating in a LAC Global Climate Change Technical Meeting in Jamaica, and undertaking preparations for significant expansion in ARCC Program capacity, including re-aligning the program budget and recruiting for new staff, as well as advancing and completing several other key ARCC activities.

The phase II (field work) of the vulnerability assessment for Malawi was initiated on 21 August 2012. The assessment will support the USAID/Malawi mission's efforts to identify opportunities to promote sustainable climate change adaptation, inform their Country Development Cooperation Strategy (CDCS) and to build host country capacity to adapt to the impacts of climate variability and change. ARCC has also begun discussions with USAID/Malawi to investigate opportunities to support the GoM's next NAP iteration.

Concurrent to the Malawi vulnerability assessment, another ARCC team began preparing for a Scoping Mission as part of a forthcoming vulnerability assessment in Senegal. The Scoping Mission desk review was completed near the end of the 4th Quarter, while Key Informant Interviews with climate change actors are scheduled to be conducted in Senegal in October, the 1st Quarter of Program Year 2. The vulnerability assessment's Phase 2 (field work) is expected to begin in the 1st Quarter and continue into the 2nd Quarter of Program Year 2.

ARCC was heavily engaged in results analysis and planning around vulnerability assessments during the 4th Quarter. Activities included: two workshops to review/assess results from the Phase II (field work) in Uganda, initial planning for a follow-on Options Analysis in Uganda, planning and undertaking Phase II (field work) of the vulnerability assessment in Malawi, participation in a LAC/GCC meeting in Jamaica, and planning meetings with USAID/DC and field Missions in the Dominican Republic/Haiti and Ethiopia.

Fourth quarter activities also focused on expanding ARCC's capacity to respond to a significant increase in requests for vulnerability assessment and technical assistance requests from USAID/DC and missions. A full-time grants manager was hired (Mr. Mauricio Castro) and grant activities focusing on building the capacity of local organizations in Africa are quickly ramping up. Additionally, several full-time staff positions are being recruited for. This reflects the departure of ARCC's former Vulnerability Assessment Specialist, Dr. John Magistro who resigned in July of the 4th Quarter.

Several STTA contracts were also developed and initiated, including with Lezlie Moriniere, to lead field work in Malawi; Susan Qashu, to provide a fisheries assessment and co-coordinate field activities in Malawi; Kadale Consultants Ltd., to provide researchers and analytical services for the field work in Malawi; University of Cape Town Climate Systems Analysis Group (CSAG) to conduct climate analysis to the Malawi vulnerability assessment; and Leif Brottem, to conduct a desk-based literature review in preparation for the vulnerability assessment in Senegal.

TASK AREA I: DEVELOPMENT OF VULNERABILITY ASSESSMENTS METHODOLOGIES

Activities that were completed under Task Area I include:

- I. At the request of USAID and following on the successful completion of field work (Phase II) in Uganda, ARCC continued to make progress on data analysis and other critical assessment activities for the ARCC Uganda Vulnerability Assessment. ARCC is on schedule to produce a final report for this vulnerability assessment during the 1st Quarter of Program Year 2.

Key activities conducted during the 4th quarter included:

- ▶ Meetings with the Uganda National Agriculture Research Laboratories (NARL) & Ugandan Meteorological Service
 - First meeting, July 2012, to revise work plan, review subcontract and manage climate analysis activities for results;
 - Second meeting, August 2012: follow-up visit on climate change and crop analyses, further outline expected results, establish a list of essential outputs/figures and verify the overall status of the climate analysis and crop modeling to date;
 - Third Meeting, September 2012: assist with the analysis of - historical climate characteristics including daily rainfall (cessation and duration of the rainy season, wet and dry spells, average daily precipitation), rainfall variability (intra-annual, inter-annual, decadal and longer-term), cross-reference variability of daily characteristics and annual or seasonal totals, and supervise the analysis of the temperature data (annual, seasonal averages, maxima and minima, inter-annual and longer-term variability).
- ▶ Crop suitability modeling and downscaling analysis, including:
 - Exploratory analyses using publicly available monthly data for Uganda (no daily information is available for Uganda);
 - Downscaled climate projections obtained from the CMIP5 suite including Tmin and Tmax projection, downscaled projections to the station level using the delta method including rainfall, temperature (min and max) and extended projections to include 2050's.
 - Procurement of atmospheric information from NCEP Reanalysis;
 - Analyses of intermediary results including precipitation totals and seasonal cycles per station, standard deviations and changes (including onset dates) between 1951-1980 and 1981-2010.
 - Analysis of rainfall change projections, crop suitability based on average seasonal cycles of rainfall and temperature for the 16 stations studied and two scenarios. Also assessed significance of the results and put them into perspective with current climate variability;
 - Operationalized Ecocrop model and made a first simulation for Robusta coffee suitability;
 - Conducted analysis on crop suitability results for the 10% driest/wettest/coldest/warmest years; and
 - Developed projected changes in crop suitability based on projected changes in rainfall and temperature.
- ▶ Conducted review and analysis of secondary data and literature available for ground and surface water resources.
 - Assessment of ground and surface water resources which included a Willmott & Matsuura Average Monthly Precipitation and NASA TRMM Monthly Average Precipitation.
- ▶ Cross analysis workshop (Uganda results meeting I) was held 22 – 24 August 2012 to discuss preliminary results from the field work.
 - Summarized and assessed findings from the focus groups and synthesized for overall assessment tables;

- Synthesized rich dataset from over 800 household surveys in six districts and analyzed using livelihoods methodology;
 - Analyzed the value chains of eight crops (maize, coffee, beans, cassava, bananas, sweet potato, rice sorghum) for climate change vulnerabilities;
 - Analyzed the results of ground and surface water research;
 - Reviewed preliminary results from climate Analysis and Crop Suitability: average climate conditions, inter-annual variability, longer term observed changes, projections and crop suitability information;
 - Design of a synthesis matrix to identify relationships between climate variables, livelihoods, water resources and crop value chains;
 - Identification of approach and methodology for options analysis; and
 - Finalize an outline for the overall vulnerability assessment report.
2. A second workshop (Uganda results meeting II) was held 26 – 28 September 2012 to discuss additional results from the climate analysis and livelihoods analysis and also develop a plan for next steps, as well as to begin preliminary discussions for the Uganda Options Analysis.
 3. At the request of USAID, ARCC initiated Phase II (field work) of the climate change vulnerability assessment in Malawi. Field research was initiated on 21 August with the analysis of data planned for completion in the 1st Quarter of FY13. The goals of the vulnerability assessment were: 1) to pilot the design and implementation of a methodology for climate change vulnerability assessment and analysis of adaptive strategies for the food security, agriculture, water and fisheries sectors; and 2) to produce a vulnerability assessment and analysis of adaptive strategies for USAID/Malawi and the Government of Malawi that will inform decision-making in the food security sector generally, and also provide more in-depth analysis of Feed the Future priority crops such as maize, sorghum, soybeans, cowpeas and pigeon peas. The results are expected to contribute to the development of the USAID/Malawi's Country Development and Cooperation Strategy (CDCS).

Activities that were completed in preparation for or during the Malawi climate change vulnerability assessment, included:

- ▶ Developed a comprehensive literature review including summary table, project review table and bibliography;
- ▶ Mobilized a team of international experts led by ARCC, including Scott McCormick (vulnerability assessment lead), Bob Winterbottom (biodiversity and natural resources expert), Aarjan Dixit (options analysis expert), Lezlie Moriniere (disaster risk reduction and field assessment specialist), Sam Huston (water specialist), Rita Laker-Ojok (value chain specialist), John Makwenda, (water resources planning specialist), Susan Qashu (fisheries specialist), Gary Forbes, (workshop coordination specialist), Sylwia Trzaska (Climate Scientist) and Anna Farmer (GIS specialist and field coordinator). A local contracting firm, Kadale Consultants Ltd. provided researchers and expertise on downscaling climate models was provided by the University of Cape Town and Malawi Meteorological Services;
- ▶ Provided an InBrief presentation to USAID/Malawi;
- ▶ Finalized research agenda (hypothesis and principle questions), assessment methodology, selection of target districts and selected crops;
- ▶ Prepared a Participatory Rural Appraisal (PRA) manual to conduct four sector-specific studies including: an agriculture crop modeling and suitability mapping analysis, water resources assessment, fisheries assessment and extreme events/disaster assessment;
- ▶ Prepared to conduct three cross-cutting studies including: an institutional analysis, policy analysis and agricultural value chain analysis;
- ▶ Coordinated with University of Cape Town and Malawi Meteorological Services to collect climate data from meteorological stations and provide historical analysis and projections for 10 and 30 years out;
- ▶ Finalized PRA methodology and approach, prepared training materials, trained 20 field researchers, two supervisors and three representatives from GoM in Participatory Rural Appraisal (PRA) methods, and

subsequently conducted nine PRA exercises and developed in-depth case studies for nine livelihood zones across eight districts (Machinga, Zomba, Mulanje, Mangochi, Dedza, Ntcheu, Nsanje, Balaka and Mangochi), covering four sectors and three cross-cutting elements;

- ▶ Organized and held a two day Stakeholder engagement workshop (10 – 11 September 2012 in Lilongwe, Malawi) in coordination with USAID/Malawi, Government of Malawi and other actors;
 - ▶ Produced power point overview of the Malawi vulnerability assessment for thinking forward;
 - ▶ Conducted preliminary analysis in preparation for adaptation options analysis;
 - ▶ Conducted multiple Key Informant Interviews (KIIs) with Malawian local government officials;
 - ▶ Presented findings to USAID Uganda during Out-Brief meeting.
4. At the request of USAID/Senegal Mission, ARCC initiated planning for a Scoping Mission in preparation for country-wide vulnerability assessment. The Scoping Mission to Senegal (Phase I) will be conducted in the 1st Quarter of program year two. Key Scoping Mission preparation activities completed to date, include:
- ▶ Mobilized a team international experts to conduct the climate change vulnerability assessment, including Dr. David Miller (Vulnerability Assessment Leader), Sylwia Trzaska (Climate Scientist), Bob Winterbottom (biodiversity and natural resources expert), Ibrahima Almamy Wade (Vulnerability Assessment Specialist) and Thioro Niang (Logistician);
 - ▶ Contracted Leif Brottem (Research Associate) to conduct a desk-based review and complete the Senegal Summary of Literature Review;
 - ▶ Developed the assessment framework and defined the assessment methodology;
 - ▶ Drafted a planning calendar and list of key actors to be interviewed in Senegal – submitted the materials to a local logistician in preparation for the field assessment;
 - ▶ Organized and participated in meetings, teleconferences and e-mail discussions with USAID/Senegal to finalize objectives, dates and travel schedules;
 - ▶ Coordinated and planned other logistical aspects in preparation for the field assessment; and
 - ▶ Reviewed the climate actors landscape and finalized the interview guide to be used during the field assessment.

Benchmarks from the Year One Work Plan that were addressed during the 4th Quarter include:

TASK AREA I: Development of Vulnerability Assessment Methodology

Benchmark	Benchmark Status
Vulnerability assessment background paper prepared and submitted to USAID	The “Background Paper on Vulnerability Assessment Methodology” will be converted into a summary version of 20 pages or less. The complete paper has been reviewed by USAID and is expected to have a limited release internally within USAID in the 1 st Quarter of Program Year 2
Vulnerability assessment methodology developed for review and testing	Vulnerability assessment approaches being tested in Uganda and Malawi, include: <ul style="list-style-type: none"> ▶ Crop Systems Approach ▶ Livelihood Vulnerability Approach Experience from USAID Uganda and Malawi vulnerability assessment will be applied to future VAs, expected in Program Year 2.
Experts Meeting on vulnerability assessments organized and facilitated	Was completed during 2 nd Quarter of Program Year 1. Second experts meeting is expected in the 2 nd Quarter of Program Year 2
Vulnerability assessments Experts Meeting summary report submitted to USAID	Was completed and submitted during 2 nd Quarter of Program Year 1
Vulnerability assessments completed in 2 pilot countries in Africa	<ul style="list-style-type: none"> ▶ Uganda phases 1 & 2 conducted in 3rd Quarter of Program Year 1 with field data and options analysis (phase 3) in 4th Quarter of Program Year 2 ▶ Malawi phase 1 conducted in 3rd Quarter of Program Year 1, phase 2 in 4th Quarter and phase 3 expected in 1st Quarter of Program year 2
Vulnerability assessments completed in 1 pilot country in LAC	A vulnerability assessments in the Dominican Republic/Haiti (Hispaniola) is expected to be conducted starting in the 1 st Quarter of Program Year 2. Additional countries that have expressed interest in a climate change vulnerability assessment include Jamaica, Ecuador and Columbia (Magda Lena River basin)
Vulnerability assessments completed in 2 pilot sectors in Africa	An agriculture sector vulnerability assessment was started in Uganda during the 3 rd Quarter of Program Year 1 and Malawi in the 4 th Quarter. Water, Fisheries and extreme events also received in-depth analysis in the 4 th Quarter of Program Year 1 during the vulnerability assessment in Malawi
Vulnerability assessments completed in 1 pilot sector in LAC	The scope of work for the vulnerability assessment in Hispaniola is expected to include tourism, energy and coastal issues, with phase 1 of the assessment expected to take place during the 1 st Quarter of Program Year 2
Report on field pilot country and sector assessments prepared and submitted to USAID	Uganda report to be completed in 1 st Quarter of Program Year 2 Malawi report expected in 2 nd Quarter of Program Year 2
Revised country and sector assessment framework prepared and submitted to USAID	The revised framework is expected to be completed once preliminary results and lessons learned from initial vulnerability assessments are compiled – expected in 1 st and 2 nd Quarters of Program Year 2
ARCC Intervention Matrix (<i>Iteration 1</i>) submitted to USAID and partners	The 1 st iteration of the matrix on “Climate Change Issues Affecting Small Holder Agriculture (a.k.a., Agricultural Interventions Matrix) was submitted

for review.	in 3 rd Quarter of Program Year 1. 2 nd Iteration was submitted in 4 th Quarter.
Adaptation Options Analysis Process Elaborated On	A one day internal workshop was held in August 2012 to develop a generic and adaptable process for undertaking options analysis. The workshop led to the development of a process paper that is being revised and will be integrated into the vulnerability assessment literature.
ARCC Agriculture Intervention Matrix submitted to USAID and partners for review	During the 4 th Quarter a comprehensive Agriculture Intervention Matrix was shared with the USAID Activity Manager. Subsequently, a template for individual fact sheets for Agricultural Interventions was shared with the USAID Activity Manager. During the next quarter, the Matrix should be finalized and additional fact sheets developed.

TASK AREA 2: OUTREACH, TRAINING AND SUPPORT

Activities that were completed under Task Area 2 include:

1. Development of climate change adaptation training materials (for video) by Sylwia Trzaska (ARCC Climate Scientist) in coordination with the International Research Institute for Climate and Society (IRI).
2. At the request of the LAC Bureau, ARCC participated in the Jamaica Development/Global Climate Change meeting held in Kingston Jamaica, 26 – 28 July 2012. Scott McCormick, ARCC STAM, attended this meeting.
3. Planning for an Experts Workshop to take place during the 2nd Quarter of Program Year 2 (expected January 16 – 20). The planned theme will focused on identifying lessons learned and best practices in vulnerability assessments.

Benchmarks from the Year One Work Plan that were addressed during the 4th Quarter include:

TASK AREA 2: Outreach, Training, and Support	
Benchmark	Benchmark Status
Training and outreach strategy developed and submitted to USAID	To be developed in accordance with requests from USAID country missions
Three core climate change workshops organized and supported	To be developed in accordance with requests from USAID
Adaptation networks background paper prepared and submitted to USAID	Was completed and submitted in 2 nd Quarter. Summary paper to be completed in 5 th Quarter (1 st Quarter of Program Year 2.)
Adaptation and FTF training workshops conducted for USAID	To be addressed in accordance with requests from USAID country missions
African Adaptation Network planning workshop organized and supported	TBD
African Adaptation Network Strategic Plan developed and submitted to USAID	TBD

Roster of African adaptation experts developed and submitted to USAID	TBD
Guidance and support provided to secretariat for African adaptation network	TBD
Support provided for African participation in Adaptation Futures Conference	Completed during 3 rd Quarter

TASK AREA 3: KNOWLEDGE DEVELOPMENT AND MANAGEMENT

Activities that were completed under Task Area 3 include:

- I. In the 4th Quarter of Program Year 1, ARCC drafted a total of eleven technical reports and outlines on topical areas including adaptation in the agriculture sector, climate science, sharing climate adaptation information, options analysis, biodiversity and health. Technical reports upon which significant progress was made include:
 1. Design and use of Composite Indices in Assessments of Climate Change Vulnerability and Resilience
 2. Climate Change Issues Affecting Small Holder Agriculture (a.k.a., Agricultural Interventions Matrix)
 3. Analyzing Climate Change Adaptation Options Using Multi-Criteria Analysis
 4. Methods for Economic Analysis of Climate Change Adaptation Interventions
 5. Evaluating Networks Frameworks to Support Decision Making (four page summary)
 6. Alternative Approaches for Adaptation Options Analysis (outline)
 7. Fact Sheet on Agricultural Adaptation Options: Ensuring Condition-Appropriate Seed
 8. From Assessment to Implementation: Approaches for Adaptation Option Analysis
 9. Improving Vulnerability Assessment and Climate Change Adaptation by Applying Impact Assessment Processes - Ten Principles (summary brief)
 10. The Role of Stakeholder Participation into Adaptation Planning
 11. ARCC Program Brief

Background research for the papers “Downscaling Climate Projections - Review of Existing Methods” and “Spatial Vulnerability Assessments” also progressed during the 4th Quarter. All papers are expected to be finalized during the 5th Quarter, i.e. 1st Quarter of Program Year 2.

Scopes of work for additional technical reports that were developed during the 4th Quarter, included:

- a. The Scope of Work for the technical report, “Integrating Climate Change Adaptation into Biodiversity and Forest Assessments and Programs”. The scope was finalized and approved with two consultants (Bruce Byers and Alison Cameron) whom have started work with drafts to be completed in the 1st Quarter of Program Year 2.
- b. The Scope of Work for the technical report, “How Climate Change Adaptation is Different From Business As Usual Development” was approved and started. A draft is expected to be developed during the 1st Quarter of Program Year 2.
- c. The Scope of Work for “Climate Change and Nutrition Action Plan” has been discussed with USAID as a stand-alone piece, as well as a contribution to the Malawi Vulnerability Assessment. To date it has not been finalized or decided with USAID on how it will be used.

2. The ARCC database that accompanies the publication, titled “Analysis of Climate Change Adaptation Networks and Institutions in Africa” was distributed informally during the 4th Quarter. The database currently includes information on more than 250 institutions and networks in Africa. The database will continue to be added to over the life of the project and may be redeveloped for Latin America during upcoming quarters.

Accompanying drafts of the paper for this database and relevant fact sheets are expected to be finalized during the 1st Quarter of Program Year 2.

3. An options analysis workshop was held on 17 August 2012 to discuss integrating the Adaptation Options Analysis with the vulnerability assessment process. Outcomes of this workshop, included:
 - a. A draft Options Analysis Process paper for USAID review. This paper subsequently was used in the Uganda Vulnerability Assessment workshop. It will be revised in the first quarter of Program Year 2.
4. The communications and knowledge management strategy was finalized and approved by USAID during the 4th Quarter of Program Year 1. The strategy’s main thrust is, 1) organize research and development of a sound body of knowledge on integrating adaptation into development programming; and (2) communicate and disseminate products and information within USAID and the broader climate change adaptation community to inform programming decisions. The strategy is constructed around the core activities of ARCC, discusses how knowledge products will be developed and includes an illustrative overview of the types of knowledge products ARCC expects to produce.

The strategy also outlines how ARCC will develop and maintain a presence in the international climate change adaptation community. Key to this strategy will be to effectively identify the target audience for ARCC’s knowledge products and timely distribution. To achieve the strategy’s goals of effectively communicating and distributing knowledge products, ARCC will selectively target key networks and institutions, including: adaptation portals, listserves, internal and external USAID lists, high-level adaptation conferences and strengthen relationships with partners and climate change adaptation actors worldwide.

5. The ARCC SharePoint project management system was improved and expanded during the 4th Quarter in response to a significant increase in sub-contracting activities and in anticipation of an expansion in ARCC staff. Improvements to the ARCC SharePoint system, include:
 - ▶ New program management tools such as the Field Activities Tracker and Consultants Tracker;
 - ▶ Additional resource folders for storing background information at the country-level, better manage ARCC operational and program outputs and absorb new vulnerability assessment activities; and
 - ▶ Expanded archiving of lessons learned and communications tools like the Climate Resilience Bi-weekly newsletter – designed to keep ARCC staff and partners apprised of new developments in the global climate change adaptation community.

The ARCC SharePoint database is a dynamic knowledge management tool that is suited for continuous improvement and adapt to the needs of each vulnerability assessment, USAID and their partners.

Benchmarks from the Year One Work Plan that were addressed during the 4th Quarter include:

TASK AREA 3: Knowledge Development and Management

Benchmarks	Benchmark Status
ARCC sub-grant program developed and advertised	ARCC hired Mr. Mauricio Castro, Grants Manager during the 4 th Quarter of Program Year 1
Sub-grants provided to 7 research organizations	Identification of potential grantees was continued during the 4 th Quarter with potential grantees including University of Cape Town Climate Systems Analysis Group (CSAG), the Foundation for Environmental Security & Sustainability (FESS) and the African Climate Policy Centre (ACPC)
Report on vulnerability indicators relevant to FTF and adaptation submitted to USAID	TBD
Report on improved understanding of global climate models for decision-making submitted to USAID	The report, titled “Downscaling Climate Projections - Standardized Approaches to Downscaling Climate Projections” is in progress and a draft is expected in the 1 st Quarter of Program Year 2
Report on economic tools for assessing impacts and adaptation costs submitted to USAID	Two drafts shared with USAID during 4 th Quarter and final completion expected in 1 st Quarter of Program Year 2
Report on participatory processes for adaptive strategies decision-making submitted to USAID	Two drafts shared with USAID during 4 th Quarter and final completion expected in 1 st Quarter of Program Year 2
Report on impact evaluation tools and biophysical/economic models submitted to USAID	The report titled, “Improving Vulnerability Assessment and Climate Change Adaptation by Applying Impact Assessment Processes – Ten Principles” was completed and submitted to USAID during the 2 nd Quarter of Program Year 1
Innovation small grants provided to local research and community organizations	Potential grantees have been identified including the African Climate Policy Centre (ACPC) who would serve as a pass-through for sub-grants to local community organizations, although this has not yet been confirmed. The first grantees are expected to be identified in the 1 st Quarter of Program Year 2
Four technical reports on ‘intervention options’ prepared and submitted to USAID	During the 4 th Quarter, drafts were developed on Multi-Criteria Analysis, and outlines for an alternative approaches for options analysis (robust decision making, adaptation pathways and scenario analysis). The report, titled “Integrating Climate Change Adaptation into Biodiversity and Forest Assessments and Programs” is in process by Bruce Byers and Alison Cameron and a draft expected during the 1 st Quarter of Program Year 2
Seven fact sheets and information materials produced for distribution to USAID	A draft fact sheet, titled “Agricultural Adaptation Options: Ensuring Condition-Appropriate Seed” was prepared for USAID review in the 4 th Quarter. The activity has progressed slower than expected as the consultant engaged had medical challenges, which have improved. The set of fact sheets to be suggested as options in the 1 st Quarter of Program Year 2, include: <ol style="list-style-type: none"> 1. Location specific analysis and planning 2. Seed development 3. Targeted approaches based on critical interventions and longer term

	<p>impacts</p> <ol style="list-style-type: none"> 4. Integrated farming systems 5. Improved extension materials and outreach 6. Strengthening value chains 7. Addressing landless labor dynamics 8. Address resiliency and degradation of coping mechanisms 9. Expansion of income generating activities 10. Conservation agriculture 11. Linking emergency food assistance with longer term responses 12. Developing better storage systems and technologies <p>Several of these fact sheets are expected to be completed in the 1st Quarter of Program Year 2.</p>
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TASK AREA 4: TECHNICAL SUPPORT TO USAID MISSIONS AND OPERATING UNITS

Activities that were completed under Task Area 4 include:

- I. Upon request from USAID/Ethiopia, ARCC began planning to evaluate opportunities for improving the integration of climate change adaptation into USAID/Ethiopia programming for disaster risk reduction and food security. The purpose of this assessment is to evaluate the current breadth of USAID/Ethiopia Office of Assets and Livelihoods in Transition (ALT) development programming in food security and DRR and provide an assessment that:
 - a. Identifies opportunities for improved integration of DRR and CCA across these ALT programs;
 - b. Identifies challenges and opportunities for integrating CCA with DRR and food security activities; and
 - c. Provides specific recommendations on how the USAID/Ethiopia ALT Office should best coordinate with and leverage the efforts of other donors, practitioners and the Government of Ethiopia to address adaptation challenges for Ethiopia's most at-risk and vulnerable populations.

This assessment will also include a case study evaluation of opportunities for improved integration of ongoing PSNP activities in Ethiopia's Borena Zone (Oromia region) with planned efforts to strengthen climate and social resilience in these pastoralist communities through the support of peace building activities.

Benchmarks from the Year One Work Plan that were addressed during the 4th Quarter include:

TASK AREA 4: Technical Support to USAID Missions and Operating Units	
Benchmark	Benchmark Status
Analysis of USAID Adaptation Interventions completed	TBD
Evaluation of Climate Risks to USAID programming completed	TBD
Training and technical support provided to Africa missions (3	Technical support to be provided to USAID/Ethiopia in 1 st Quarter of Program Year 2

activities)	
Training and technical support provided to LAC missions (2 activities)	First LAC GCC meeting was held in 3 rd Quarter in Cuenca Ecuador. ARCC participated in second GCC meeting in 4 th Quarter in Kingston Jamaica

PROJECT MANAGEMENT AND ADMINISTRATION

The LOE committed to vulnerability assessments in Uganda, Malawi, Senegal, Ethiopia and Dominican Republic increased significantly in the fourth quarter from the last quarter as did activities related to increasing ARCC's program capacity. Vulnerability assessment activities were largely focused on coordinating with the missions, preparing and reviewing for scoping missions and vulnerability assessments, securing contracts and managing program operations.

Specifically, the following key activities were addressed during the 4th Quarter:

- ▶ Rigorous ARCC program budget analysis and submitted budget realignment request to USAID for consideration;
- ▶ Developed new reporting tools on budget and operations including Monthly breakdown by AFR and LAC regions and ARCC Program Manager for ARCC/USAID communications;
- ▶ Finalized subcontract with CIESIN including finding a resolution on the intellectual property issues between Columbia University and USAID;
- ▶ Develop and advertised for six new full-time staff positions, including: Deputy Chief of Party, Vulnerability Assessment Specialist, Two Climate Change Technical Advisors Climate Scientist and Administrative Assistant. A review of all CVs and interviews are currently being conducted for four of the six positions.
- ▶ Identified new office space to absorb staff needed for expanded capacity of ARCC Program;
- ▶ Contracted STTA (Mr. Michael Schafer) to provide branding, design and layout services on ARCC products;
- ▶ Held a series of meetings on year two work planning with CIESIN, Cadmus Group, World Resources Institute as well as internal members of the ARCC team;
- ▶ Initiated climate change and crop phenology/productivity analysis including SOW and contract for Dr. Alfonso del Rio to prepare a series of phenology/productivity background papers;
- ▶ Managed for outputs from PLACE IQC partners – ACDI/VOCA, CADMUS, CIESIN and the World Resources Institute (WRI) as well as climate change vulnerability assessment sub-contractors in Uganda, Malawi and Senegal;
- ▶ Mobilized key personnel – STTAs for the Malawi Vulnerability Assessment and Senegal Scoping Mission, including SOWs and contracts for the University of Cape Town Climate Systems Analysis Group (CSAG), Kadale Consultants Ltd. to provide researchers, negotiations with the International Crops Research Institute for the Semi-Arid Tropics (ICRISAT) to perform crop suitability analysis and multiple STTAs to provide additional analysis;
- ▶ Mobilized key personnel – STTAs for the Senegal Scoping Mission, including SOWs and contracts for a climate change research assistant, Mr. Leif Brottem, in country logistician and technical advisor Mr. Ibrahima Almamy Wade.
- ▶ Management and coordination of ARCC planning meetings, including: LAC GCC meeting in Kingston Jamaica, 26 – 28 July 2012; Malawi Vulnerability Assessment Planning Meeting in Burlington VT, 6 – 9 August 2012; Uganda results meeting I in Arlington VA, 22 – 24 August 2012; and Uganda results meeting II in Burlington VT, 26 – 28 September 2012. Additional strategic planning meetings with USAID and implementing partners were held throughout the 4th Quarter to review and strategize for the Malawi Vulnerability Assessment, Senegal Scoping Mission, Ethiopia Assessment and progress on the USAID Uganda Vulnerability Assessment.

3.0 FINANCIAL MANAGEMENT

TETRA TECH ARD African and Latin American Resilience to Climate Change (ARCC) Contract #: AID-OAA-TO-11-00064		
<u>TOTAL BUDGET SUMMARY BY YEAR</u>		
	Approved Budget	Actuals Through Sept. 30, 2012
Total Direct Labor		
Salary and Wages	1,881,526	434,597
Fringe Benefits	694,848	160,500
STTA/Consultants	1,391,491	95,321
Grants Under Contract	2,000,000	-
Subcontracts	3,417,069	527,486
Program Activity Costs	119,576	-
Other Direct Cost	261,180	117,315
Travel, Transportation, and Per Diem	931,200	199,147
Equipment and Supplies	31,130	31,421
Indirect Costs	1,686,218	348,303
Fixed Fee	620,712	95,219
Total Est. Cost Plus Fixed Fee	13,034,950	2,008,730
ARCC Program Area	Actuals Through Sept. 30, 2012	
Operations	\$ 1,384,706.63	
Latin America & Caribbean	\$ 9,305.71	
Africa	\$ 614,717.94	
TOTAL	\$ 2,008,730.28	

4.0 MAJOR ACTIVITIES PLANNED

NEXT PERIOD

ARCC expects to initiate vulnerability assessments in at least three countries during the next quarter and to have a significant number of related activities, including:

Activity Plan				
Task Areas	Activities	Team Member	Date	Output
TAI				
TA I	Initiate planning for short-term DRR Assessment in Ethiopia; finalized SOWs, engaged consultants and developed work-plan.	Lezlie Moriniere, Kara Gaye, Cary Farley	October	Plan / Report
TA I	Complete Scoping Mission (Phase I) for the vulnerability assessment in Senegal. This Scoping Mission aims to meet local partners, begin to collect quantitative and qualitative data and prioritize main VA objectives.	David Miller, Sylwia Trzaska, Cary Farley	October	Report on key actors and vulnerability assessment focal areas
TA I	Develop abbreviated version of the “Background Paper on Vulnerability Assessment Methodology.”	Leif Kindberg	October	Report
TA I	Initiate planning for vulnerability assessment in the Dominican Republic/Haiti: defining team, developing schedule, and creating preliminary SOW.	Cary Farley/ Patricia Caffrey	October/ November	Work Plan
TA I	Vulnerability assessment of USAID/Ethiopia disaster risk programs	Kara Gaye, Lezlie Moriniere	November	Report and presentations
TA I	Complete the literature review for the vulnerability assessment in the Dominican Republic/Haiti	Patricia Caffrey, Mauricio Castro	October/ November	Background Review
TA I	Preliminary results presentation on Uganda Vulnerability Assessment (Video-conference)	Patricia Caffrey	November	Presentation & preliminary readout
TA I	Finalize planning and conduct phase 2 (field work) of the vulnerability assessment in Senegal	David Miller	November December	Field work data
TA I	Evaluation of Malawi field work results and	Scott McCormick	November/	Workshop &

	development of three scenarios from the nine PRA studies		December	preliminary results report
TA 1	Write final report for vulnerability assessment in Uganda	Patricia Caffrey	December	Report
TA 1	Launch Scoping Mission (Phase I) of the vulnerability assessment for the Dominican Republic/Haiti. This Scoping Mission aims to meet local partners, begin to collect quantitative and qualitative data, and prioritize main VA objectives.	Patricia Caffrey	December	SOW
TA 1	Upon return from the Dominican Republic/Haiti Scoping Mission, begin analysis of quantitative and qualitative data gathered, focus and continue literature review, finalize methods for phase II of the VA and begin to identify adaptation interventions.	Patricia Caffrey	December – January	VA
TA 1	Present preliminary results from phase 2 (field work) in Malawi and complete planning for adaptation options analysis.	Scott McCormick	December	Preliminary results report
TA 1	Initiate the literature review for the Scoping Mission in the Mali	Leif Kindberg	November/ December	Background Review
TA2	Activities	Team Member	Date	Output
TA 2	Contingent on USAID feedback and approval, distribute background papers and technical resources from recent Quarters.	Leif Kindberg	October – December	N/A
TA 2	Planning for ARCC Experts Meeting in 2 nd Quarter of Program Year 2	Matt Sommerville Roberto Prado	October – December	Plan
TA 2	AFR Bureau CC Technical Officers Meeting (expected February 5 – 9; Accra, Ghana)	Cary Farley	November	Plan
TA 2	Planning for BFS/FtF Technical Officers' training meeting	Cary Farley	November – December	Training
TA 2	Training materials in cooperating with IRI	Sylwia Trzaska	September – October	TBD
TA3	Activities	Team Member	Date	Output
TA 3	Finalize series of technical papers on adaptation options analysis, biodiversity and other topics	Matt Sommerville Leif Kindberg	October / November	Reports and Briefs
TA 3	Complete three to five scopes of work, including integrating climate science into 118/119 assessments	Matt Sommerville/ Consultants	October – December	SOWs
TA 3	Complete first draft of business as usual paper	Matt Sommerville	October	Draft Paper
TA 3	Produce technical papers and policy briefs regarding Data Integration and Downscaling.	CIESIN	October – December	Technical Reports
TA 3	Design and launch ARCC portal profiles in 1 – 2 locations (eg. Eldis Communities)	Leif Kindberg	October –	Public Profiles

			December	
TA 3	Finalize technical papers and policy briefs on adaptation options analysis.	WRI	November / December	Policy Briefs
TA 3	Formalized partnership with ACPC, FESS and CSAG and distribute grants	Mauricio Castro	November / December	Grant disbursements
TA 3	Finalize and disseminate resources to USAID, in-country partners and broader adaptation community.	Leif Kindberg	November / December	Distribution
TA4	Activities	Team Member	Date	Output
TA 4	As requested, provide technical support to USAID/Ethiopia regarding climate change, DCHA and DRR	Lezlie Moriniere	October / November	Report
TA 4	As requested, provide technical support to USAID missions regarding climate information and management, (e.g., Nigeria, Tanzania)	CIESIN	Ongoing	TBD
TA 4	As requested, plan for vulnerability assessments and work with USAID Mission staff to fine tune VA methodological approach, initiate literature reviews, develop case studies, and develop partnerships with key stakeholders, (e.g., Magdalena River in Columbia, Jamaica).	ARCC	Ongoing	VAs

5.0 ANNEXES

ANNEX I: ARCC OUTPUTS

ARCC Operations Outputs			ARCC Program Outputs		
Title/Activity	Deliverable	Status	Title/Activity	Deliverable	Status
1. ARCC Program Brief	Brief	Draft	Climate Change and Nutrition Action Plan	Report	Draft
2. AFR Institutional Database Update	Database	Final	Fact Sheet on Agricultural Adaptation Options: Ensuring Condition-Appropriate Seed	Fact Sheet	Draft
3. Year 2 Budget Realignment Request	Budget	Draft	Climate Change Issues Affecting Small Holder Agriculture (a.k.a., Agricultural Interventions Matrix)	Matrix	Draft
4. Communications and Knowledge Management Strategy	Strategy	Final	Methods for Economic Analysis of Climate Change Adaptation Interventions	Report	Draft
5. Participatory Rural Appraisal (PRA) manual	Field Manual	Tool	Evaluating Networks Frameworks to Support Decision Making (Four page summary)	Summary Paper	Draft
6.			Alternative Approaches for Adaptation Options Analysis (outline)	Report Outline	Draft
7.			From Assessment to Implementation: Approaches for Adaptation Option Analysis	Report	Draft
8.			Integrating Climate Change Adaptation into Biodiversity and Forestry Assessments and Programs (Draft Outline)	Report	Draft
9.			Analysis of Climate Change Adaptation Networks and Institutions in Africa (Database)	Database	Draft
10.			Design and use of Composite Indices in Assessments of Climate Change Vulnerability and	Report	Draft

			Resilience		
11.			Analyzing Climate Change Adaptation Options Using Multi-Criteria Analysis	Report	Draft
12.			The Role of Stakeholder Participation into Adaptation Planning	Report	Draft
13.			Improving Vulnerability Assessment and Climate Change Adaptation by Applying Impact Assessment Processes - Ten Principles (summary brief)	Report	Draft

U.S. Agency for International Development

1300 Pennsylvania Avenue, NW

Washington, D.C. 20523

Tel: (202) 712-0000

Fax: (202) 216-3524

<http://www.usaid.gov>